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**Electronic Filing System (EFS) Data**  
**Electronic Patent Application Submission**  
**USPTO Use Only**

EFS ID: 43056

Application ID: 09970078 

Title of Invention: METHODS AND SYSTEMS FOR  
MANAGING A PORTFOLIO OF  
SECURITIES

First Named Inventor: John Bunda

Domestic/Foreign Application: Domestic Application

Filing Date: 2001-10-03

Effective Receipt Date: 2003-07-08

Submission Type: Information Disclosure  
Statement

Filing Type:

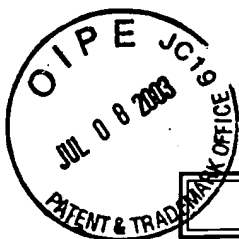
Confirmation number: 8120

Attorney Docket Number: 5226-02200

Total Fees Authorized:

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**TRANSMITTAL**

Electronic Version v1.1

Stylesheet Version v1.1.0

<b>Title of Invention</b>	<b>METHODS AND SYSTEMS FOR MANAGING A PORTFOLIO OF SECURITIES</b>	
Application Number: 09/970078 Date: 2001-10-03 First Named Applicant: John Bunda  Confirmation Number: 8120 Attorney Docket Number: 5226-02200		
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<b>Submitted by:</b>	<b>Elec. Sign.</b>	<b>Sign. Capacity</b>
Eric B. Meyertons Registered Number: 34876	Eric B. Meyertons	Attorney
<b>Documents being submitted</b> us-ids		<b>Files</b> 5226-01600-7-03-usidst.xml us-ids.dtd us-ids.xsl
<b>Comments</b>		

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## ELECTRONIC INFORMATION DISCLOSURE STATEMENT

Electronic Version v18

Stylesheet Version v18.0

### Title of Invention

METHODS AND SYSTEMS FOR MANAGING A  
PORTFOLIO OF SECURITIES

Application Number: 09/970078  
Confirmation Number: 8120  
First Named Applicant: John Bunda  
Attorney Docket Number: 5226-02200  
Art Unit: 2163  
Search string: ( 5193056 or 4752877 or 6415267 or 6029146  
or 5297031 or 6035287 ).pn.

### US Patent Documents

Note: Applicant is not required to submit a paper copy of cited US Patent Documents

init	Cite.No.	Patent No.	Date	Patentee	Kind	Class	Subclass
	1	5193056	1993-03-09	Boes			
	2	4752877	1988-06-21	Roberts et al.			
	3	6415267	2002-07-02	Hagan			
	4	6029146	2000-02-22	Hawkins et al.			
	5	5297031	1994-03-22	Guterman et al.			
	6	6035287	2000-03-07	Stallaert et al.			

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